



## **Resources, Guidance, and Templates**

- New: Usage notes to help navigate the document [page 5]
- New: Performance Indicator Reference Sheets (PIRS) [[Resources](#) page]
  - Each indicator has a PIRS that defines the indicator and specifies the numerator/denominator, unit of measure, and suggested data collection method/source.
  - USAID/OFDA recommends PIRS for custom indicators.
- Revised: [Resources](#) page has new templates and guidance documents.
- Revised: Checklist of Required Elements [page 14]
  - New elements
  - Updated elements and format

## **New: Grand Bargain Commitments [page 8]**

- This section outlines USAID/OFDA's commitment, as a signatory to the Grand Bargain, to advancing reforms that will increase the effectiveness of and gain efficiencies in humanitarian action.
- Many of these changes and priorities are reflected in the increased level of guidance on monitoring, cash-based programming, and needs assessments in this version of the [Proposal Guidelines](#).
- Multi-year awards may be appropriate for a protracted emergency or a longer-term disaster risk reduction (DRR) project. NGOs interested in multi-year awards should discuss this option with USAID/OFDA field representatives.

## **Proposal Format Changes**

- If requesting to not use an indicator
  - List the indicator in [brackets] in the Sector Table in the Proposal Summary, and
  - Provide justification in the Monitoring Narrative.
- If revising a proposal
  - Delete any text removed rather than using strikethrough, and
  - Apply bold typeface to changes [page 15].

## **Proposal Summary Template [page 16]**

- New field for a custom outcome indicator. You are required to submit one custom outcome indicator with your proposal in any sub-sector you choose [page 72].

## **Table of Sectors, Sub-sectors, and Indicators [page 21-44]**

- New sector: Multipurpose Cash Assistance (MPCA) [Sector Requirements on page 147].
- Many sectors have new and/or revised sub-sectors.

- Many sub-sectors have new and/or revised indicators.
- New format for indicators in most sub-sectors:
  - Up to three indicators are designated as mandatory.
  - Some sub-sectors include a combination of mandatory indicators and indicators that you select from a USAID/OFDA-provided list, for a total of three indicators per sub-sector.
  - When given an option to choose indicators from a USAID/OFDA-provided list, you should select the indicators that are most relevant to the proposed program.
  - Exceptions to the three-indicator per sub-sector requirement:
    - MPCA has six required indicators.
    - Sub-sectors in Health have additionally required indicators for specific types of activities. The total number of indicators per sub-sector may be more than three, depending on the proposed activities.
  - Although USAID/OFDA encourages you to use custom outcome indicators that are meaningful for your organization, you will not be able to enter more than one custom outcome indicator per proposal into USAID/OFDA's Award Results Tracking System.

## **Keywords** [pages 44, 220]

### New keywords

- Cash
- First Aid Training and/or Search and Rescue Training
- Fisherfolk
- Pesticide-Containing Materials
- Seeds and/or Seedlings
- Structures
- Vouchers
- WASH in Health Facilities
- Water for Productive Uses
- Weather Station

Indicators are now required for three keywords. You must list these indicators in the keyword box of the Proposal Summary and in the Program Description of the proposal.

- Cash – Total USD amount of cash transferred to beneficiaries.
- Cash-for-Work (CFW) – Total USD amount of cash transferred to beneficiaries as CFW payments.
- Vouchers – Total USD value of vouchers redeemed by beneficiaries.

## **Ineligible and Restricted Goods**

- New: Livestock Supplier Certification Letter form [[Resources](#) page]
- New: Fertilizer Approval Memo form [[Resources](#) page]
- Revised and Renamed: Seed Grower's Declaration of Quality [[Resources](#) page]

## **Supporting Documentation**

- Revised: **Code of Conduct and Protection from Sexual Exploitation and Abuse (PSEA)** [page 69]
  - You must include a copy of your Code of Conduct as an annex with your proposal.
  - The Code of Conduct must be consistent with the core principles in [IASC Task Force on PSEA in Humanitarian Crises](#), including the following:
    - Sexual exploitation and abuse by humanitarian workers constitute acts of gross misconduct and are therefore grounds for termination of employment;
    - Sexual activity with children (persons under the age of 18) is prohibited regardless of the age of majority or age of consent locally. Mistaken belief in the age of a child is not a defense;
    - Exchange of money, employment, goods, or services for sex, including sexual favors or other forms of humiliating, degrading, or exploitative behavior is prohibited. This includes exchange of assistance that is due to beneficiaries;
    - Sexual relationships between humanitarian workers and beneficiaries are strongly discouraged since they are based on inherently unequal power dynamics. Such relationships undermine the credibility and integrity of humanitarian aid work;
    - Where a humanitarian worker develops concerns or suspicions regarding sexual abuse or exploitation by a fellow worker, whether in the same humanitarian aid agency or not, s/he must report such concerns via established agency reporting mechanisms; and
    - Humanitarian workers are obliged to create and maintain an environment that prevents sexual exploitation and abuse and promotes the implementation of their Code of Conduct. Managers at all levels have particular responsibilities to support and develop systems that maintain this environment.
  - The Code of Conduct must also include implementation details specific to the region or country of program implementation. It should address
    - How employees are trained or otherwise made aware of the Code of Conduct;
    - How violations of the Code of Conduct against beneficiaries are reported and followed up on in a safe and confidential manner;
    - How beneficiaries are made aware of the Code of Conduct and a mechanism to report any violations; and
    - Whether or not there is a focal point in the country or regional office for the Code of Conduct.
  - You are not required to submit the Code of Conduct for sub-awardees. However, recipients of USAID/OFDA funds are required to ensure that your sub-awardees have a Code of Conduct and that it is consistent with PSEA principles.
- New: **Accountability to Affected Populations (AAP) plan/framework** [page 71]
  - You must include an AAP plan/framework specific to the proposed sectors.

- The AAP plan/framework must be submitted as annex with the proposal and should not exceed one page.
  - Your AAP plan/framework should include
    - How the affected population was involved in the program design;
    - What mechanisms you have in place to provide program information and receive beneficiary feedback throughout the duration of the project;
    - How beneficiary feedback will be incorporated into program implementation, monitoring and evaluation of progress, and designing course corrections as needed;
    - How you will ensure that feedback and information mechanisms are safe, accessible, and the preferred mechanism for beneficiaries; and
    - How you will ensure confidentiality and respond to any critical or sensitive protection issues that arise.
  - You are encouraged to align you AAP plan/frameworks with the [IASC's Five Commitments to Accountability to Affected Populations](#).
  - USAID/OFDA will consider funding activities aimed at incorporating beneficiary feedback as part of overall program budgets.
- New: **Monitoring and Evaluation (M&E) plan** [page 72]
    - The M&E plan must be an annex to the proposal consisting of
      - Monitoring Table with
        1. Indicator definition
        2. Target
        3. Data collection method
        4. Source
        5. Frequency, and
        6. Position responsible for collection.
- Excel template available on [Resources](#) page
- Your monitoring table should include its proposed custom outcome indicator as part of the Proposal Summary. If it is not relevant or feasible to include one outcome indicator in the proposal, you must justify its omission in the Monitoring Narrative, and do not need to enter into the Monitoring Table. If a proposal includes activities in the Protection sector, the custom indicator(s) required for Protection can be used to meet the requirement for one custom outcome per proposal.
  - Monitoring Narrative, including
    1. Theory of change. You must explain the expected outcome of the program, and briefly explain how program activities and outputs are linked to the objective that the program is aimed at achieving; and
    2. Accountability to affected populations. Include an explanation of how beneficiary feedback will be incorporated throughout the project, with specific plans to share monitoring results with beneficiaries.
  - When applicable, an evaluation plan including a statement of work (SOW) that contains information on the evaluation type, questions, methods,

timeline. The full SOW must be submitted six months before estimated start of evaluation.

- You must include an evaluation plan if
    1. If the proposal is focused on DRR and has a proposed period of performance of more than 12 months; or
    2. If your organization has implemented at least one USAID/OFDA-funded award (of any duration, in any sector) in the past three years in a given country and has not completed an evaluation of any USAID/OFDA-funded awards in that given country in the past three years.
  - You must submit baseline data in the Award Results Tracking (ART) system within 30 or 60 days of the program start date, depending on the total length of the program.
- **New: Logistics Requirements** [page 78]
    - You must address the logistics requirements as annexes and
    - Include a brief description of logistics and operations structures if USAID/OFDA funds are used for procurement, storage, or transport.
      - If procurement over \$50,000 is planned, you must provide
        1. Procurement plan,
        2. Procurement policy, and
        3. Transport plan.
      - i. If warehousing in support of USAID/OFDA-funded project(s) is planned, provide
        1. Storage plan, and
        2. Warehouse management policy.
      - ii. If renting or purchasing vehicles, provide
        1. Discrete lists of vehicles
          - a. To transfer into project, and
          - b. Planned for purchase or rental;
        2. Maintenance management plan; and
        3. Fleet management policy.

## **Sector Requirements (SRs)**

### ***Protection Mainstreaming*** [page 81]

- All sectors include tailored protection mainstreaming guidance. SRs have specific questions to be addressed related to protection mainstreaming.
- All proposals must include a separate paragraph within each proposed sector that addresses protection issues and concerns and how you plan to mitigate them.

### ***Agriculture and Food Security*** [page 84]

- You are now required to conduct and submit a seed system security assessment if proposing seed assistance in a location where you have distributed seeds for more than three consecutive years.

- [ADS312mac](#) calls for a higher level of quality assurance for livestock and agricultural inputs. To address this, you are now required to submit documentation and receive approval before procuring seeds, fertilizers, and livestock. Templates are on the [Resources](#) page and in award packages. Additional information is in the Restricted Goods section of the Guidelines. You should look for the
  - Seed Grower's Declaration of Quality (formerly the Seed Grower's certification form),
  - Fertilizer Approval Memo form, and
  - Livestock Supplier Certification Letter template.
- New technical design guidance, clarifications, and/or additional resources are included in each sub-sector.
- All veterinary equipment and supplies are now included in the Veterinary Pharmaceuticals and Other Medical Commodities sub-sector.

### ***Economic Recovery and Market Systems*** [page 108]

- Market System Rehabilitation is now Market System Strengthening to capture the broader range of activities in which USAID/OFDA engages. This includes providing support to critical market actors, DRR work, and conducting market assessments that benefit the entire humanitarian community.
- Microfinance is now Financial Services, reflecting current terminology. USAID/OFDA primarily supports programs that facilitate access to existing financial service providers, as well as community saving/lending groups.
- Livelihood Restoration and New Livelihoods Development sub-sectors now provide clearer guidance on demonstrating market viability (unmet demand) as well as business viability (cost-benefit analysis).
- The Temporary Employment sub-sector continues, to be selected for CFW when there are a wide range of CFW activities in a proposal. If CFW is concentrated on one sector's activity (e.g. rehabilitating water points or irrigation canals), you should use that sector and sub-sector and include the CFW keyword.

### ***Health*** [page 119]

- New sub-sector: Public Health Emergencies of International Concern and Pandemics (PHEIC). PHEIC programs have special requirements designed for a coordinated international response to an infectious disease outbreak. Do not use the PHEIC and Pandemics sub-sector for an infectious disease outbreak that occurs within the setting of an ongoing response to a natural disaster or complex emergency.
- Medical Commodities sub-sector is now Pharmaceuticals and Other Medical Commodities (PMC). The PMC sub-sector must be included in proposals with Health programs.
- All other Health sub-sectors must also be addressed in every Health proposal—except PHEIC. If you are not proposing activities in a given core Health sub-sector, you must explain how those needs are being met and which other agencies will provide those services.

- Additional guidance clarifies that USAID/OFDA does not support cash or vouchers for clinical health services or PMC. USAID/OFDA may consider cash or vouchers for complementary activities in the Health sector with substantial justification.

### ***Humanitarian Coordination and Information Management*** [page 137]

- In the Coordination sub-sector, additional technical design guidance requires you to more clearly demonstrate your ability to coordinate and communicate within the existing humanitarian architecture.
- In the Information Management sub-sector, additional activities are described:
  - Emergency telecommunications support
  - Multi-sector humanitarian needs assessments for difficult-to-access locations.
 For these programs, you must address information gaps, explain how those gaps hamper the delivery of effective humanitarian assistance, and demonstrate a plan to share the resulting data across the humanitarian community.

### ***Humanitarian Studies, Analysis, or Applications*** [page 141]

- No major changes.

### ***Logistics Support*** [page 143]

- Changed sector name from Logistics Support and Relief Commodities to Logistics Support.
- No longer includes non-food items (NFIs). Instead, Shelter and Settlements and WASH each have an NFI sub-sector.
- The Logistics Support sub-sectors focus on large-scale common service provision, such as
  - Acquisition and storage for other parties, and
  - Common service transportation.

### ***New: Multipurpose Cash Assistance (MPCA) Sector*** [page 147]

- MPCA programs are intended to help beneficiaries cover part of a Minimum Expenditure Basket (MEB), to meet objectives under multiple humanitarian sectors.
- MPCA can be one-off or recurring, often for three-to-six months. Common uses for MPCA are immediately following a displacement, after a rapid-onset disaster, or to assist households in bridging a gap in the ability to meet basic needs.
- USAID/OFDA will consider MPCA funding for line items in the MEB for any combination of the following basic needs:
  - Shelter costs: Rent, utilities, fuel for various purposes;
  - NFIs: Personal and household goods;
  - WASH costs: Water, sanitation, WASH NFIs; and
  - Transportation and other expenses that are part of an established MEB may be supported through MPCA.
- MPCA funding cannot be used for medical commodities or health/nutrition services.
- A strong needs assessment for MPCA will
  - Identify the targeted population,
  - Identify the most pressing needs, and

- Identify that cash is the primary barrier to meeting these needs, and/or identify and propose complementary activities to address other barriers.

### ***Natural and Technological Risks*** [page 151]

- Additional guidance clarifies that USAID/OFDA does not encourage construction of structures, such as levees, floodwalls, retaining walls, and embankments, to control hydrometeorological hazards.
- You are encouraged to review the added resources, [Natural and Nature-Based Flood Management: A Green Guide](#) and [ThinkHazard!](#).

### ***Nutrition*** [page 157]

- USAID/OFDA is promoting integration between WASH, Health, and Nutrition sector activities. You must describe your efforts to integrate these activities within your program.
- Additional guidance clarifies that USAID/OFDA does not support the use of cash or vouchers for Nutrition activities. USAID/OFDA may consider cash or vouchers for complementary activities (e.g. transport, referral services) with substantial justification.
- Activities in the former Moderate Acute Malnutrition, Severe Acute Malnutrition, and Nutrition Systems now fall into one sub-sector: Management of Acute Malnutrition.
- Management of Acute Malnutrition sub-sector now includes
  - Specific requirement for you to describe your supply chain and commodity pipeline; and
  - A requirement that buffer stock should be relative to beneficiary needs.
- The Infant and Young Child Feeding in Emergencies (IYCF-E) sub-sector must be included in all nutrition programs unless IYCF-E needs are comprehensively met through other agencies and donors.

### ***Protection*** [page 165]

- Additional guidance in the technical design section for each sub-sector encourages you to create programs that are tailored to the needs of specific populations. For example, young children may have different needs than adolescents and child survivors of gender based violence (GBV) may have different needs than adult survivors.
- Updates to each of the sub-sectors
  - Child Protection
  - Prevention and Response to GBV
  - Psychosocial Support Services
  - Protection Coordination, Advocacy, and Information.
- New guidance on Protection and cash-based programming.
  - All Protection sub-sectors now require a custom protection-specific outcome indicator. Previously, all Protection sub-sectors required a custom outcome indicator except for GBV. Protection-specific custom outcome indicator(s) can be used to meet the requirement for one custom outcome indicator per proposal.

### ***Risk Management Policy and Practice (RMPP)*** [page 179]

- Additional guidance provided on following activities

- Small-scale DRR grants
  - For these grants, USAID/OFDA prefers that you provide a comprehensive list of all potential activities in the proposal phase, which will be reviewed by appropriate technical experts. Alternately, you may choose to provide an opportunity for USAID/OFDA to review activities selected in consultation with the local community prior to implementation; and
- For WASH-related activities to be included in RMPP, small-scale WASH projects must only include rehabilitating existing WASH infrastructure using the same specification as the original design.

### ***Shelter and Settlements (S&S)*** [page 189]

- New sub-sectors
  - Shelter;
  - Settlements
    - Includes improved guidance from the former Camp Management and Design sub-sector, as well as new guidance on hosting and rental activities;
  - S&S DRR; and
  - S&S NFIs.
- Now includes shelter-related NFIs, which were transferred from the former Logistics Support and Relief Commodities sector. Shelter-related NFIs encompasses plastic sheeting and framing material as well as anything that goes inside a shelter, such as blankets, lighting, clothing, and fuel.

### ***WASH*** [page 206]

- USAID/OFDA funds programs that address WASH needs precipitated by a shock or displacement. You must explain how access to water and/or sanitation or capacity to practice key hygiene behaviors has changed as a result of a shock or displacement.
- USAID/OFDA encourages market-based WASH programming. USAID/OFDA supports programs that use cash/vouchers to support existing vendors or market systems.
- The Hygiene Promotion sub-sector must be included in every WASH proposal.
- The Water Supply sub-sector clarifies USAID/OFDA's stance on many water supply interventions, including solar pumping and household water treatment.
- New sub-sector: WASH NFIs. It includes NFIs that are specific to the WASH sector, which were part of the former Logistics Support and Relief Commodities sector.
- The former WASH indicators table has been integrated into the Proposal Guidelines.